

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-031001	Application No. 09/401,892
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Stuart Serkin et al.	
		Filing Date September 23, 1999	Group Art Unit

U.S. Patent Documents


Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date Appropriate
	AA						
	AB						
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	AK						

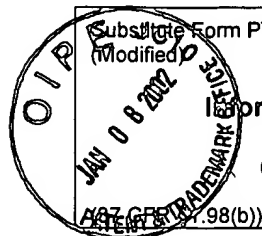
Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
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	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
B	AQ	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61 pps.
	AR	
	AS	
	AT	

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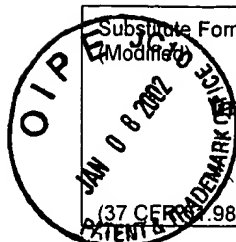
Examiner Initial	Desig. ID	Document
B)	AQ	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System", Federal Register – Securities and Exchange Commission, Vol. 63, No. 48, March 12, 1998, pps. 12124-40, XP002171774 (198.17.75.65/fril/).
B)	AR	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System", Federal Register – Securities and Exchange Commission, June 10, 1999, pps. 31335-38, XPO002171937 (1989.17.75.65/fril/).

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b2	AS	Smith, J.W., Selway, J.P. McCormick, T.D.: "NASD Working Paper 98-01: The Nasdaq Stock Market: Historical Background and Current Operation", NASD Department of Economic Research, August 24, 1998, pps. 1-51, XP002171837 (www.academic.nasdaq.com/docs/wp98_01.pdf).
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